

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :
Setsuo KAJIWARA et al. :
Serial No. NEW : **Attn: APPLICATION BRANCH**
Filed March 29, 2004 : Attorney Docket No. 2004_0501

Ti-Ni-BASED SHAPE-MEMORY ALLOY
AND METHOD OF MANUFACTURING SAME
(Rule 1.53(b) Continuation
of Serial No. 10/281,143,
Filed October 28, 2002)

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of the references listed on attached form PTO-1449.

A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 10/281,143.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, **or**

before the mailing of a first Office Action on the merits or the mailing of a first Office Action after the filing of an RCE,

and thus no certification and/or fee is required.

1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1) ☐ the certification of paragraph 2 below is provided, **or**

(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

the certification of paragraph 2 below is provided, and

the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

2. It is hereby certified

a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or


b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
 - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
 - c. ☐ the concise explanation contained in the specification of the present application at page ,
 - d. ☐ the concise explanation set forth in the attached English language abstract,
 - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☐ A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Setsuo KAJIWARA et al.

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March 29, 2004

Sheet 1 of 1							
FORM PTO 1449 (modified) U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE LIST OF REFERENCES CITED BY APPLICANT(S) <i>(Use several sheets if necessary)</i> Date Submitted to PTO: March 29, 2004				ATTY DOCKET NO. 2004_0501		SERIAL NO. NEW	
				APPLICANT Setsuo KAJIWARA et al.			
				FILING DATE March 29, 2004		GROUP 1742	
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,149,381	9/1992	Grewe et al.			
	AB	5,588,466	12/1996	Benz et al.			
	AC	5,061,914	10/1991	Busch et al.			
	AD	5,825,275	10/1998	Wuttig et al.			
	AE						
	AF						
	AG						
	AH						
	AI						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO
	AJ						
	AK						
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)							
	AL	S. Miyazaki et al., <u>Materials Transactions, JIM</u> , 35(1), 14-19 (1994).					
	AM	S. Kajiwara et al., <u>Philosophical Magazine Letters</u> , 74(3), 137-144 (1996).					
	AN	S. Kajiwara et al., <u>Philosophical Magazine Letters</u> , 74(6), 395-404 (1996).					
	AO	T. Spassov et al., <u>Crystal Research and Technology</u> , 29(1), 99-107 (1994)					
	AP	G. Weng et al., <u>Dianyuan Jishu</u> , 21(1), (1997)					
EXAMINER				DATE CONSIDERED			

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of form with next communication to applicant.